

Express Mail No.: EL984538771US
Date Deposited: 11/24/2003

APPROVED
for
PTO DEPOSIT ACCOUNT CHARGE
ACCT NO. 09-1700

11/25/03

1754

Approved for use through 10/31/2002. OMB 0651-0032
DUNLAP, CODDING & ROGERS, P.C. U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

FREE TRANSMITTAL for FY 2003

Patent fees are subject to annual revision.

☒ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$) 180

Complete if Known

Application Number	09/988.847
Filing Date	11/19/2001
First Named Inventor	Daniel E. Resasco et al.
Examiner Name	S. Hendrickson
Art Unit	1754
Attorney Docket No.	5820.615

METHOD OF PAYMENT (check all that apply)

☐ Check ☐ Credit card ☐ Money Order ☐ None

☒ Deposit Account:

Deposit
Account
Number
Deposit
Account
Name

04-1700

Dunlap, Coddling & Rogers, P.C.
Customer No. 30589

The Commissioner is authorized to: (check all that apply)

☒ Charge fee(s) indicated below ☒ Credit any overpayments
☒ Charge any additional fee(s) during the pendency of this application

☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.

FEE CALCULATION

1. BASIC FILING FEE

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
1001 770	2001 385	Utility filing fee	
1002 340	2002 170	Design filing fee	
1003 530	2003 265	Plant filing fee	
1004 770	2004 385	Reissue filing fee	
1005 160	2005 80	Provisional filing fee	

SUBTOTAL (1) (\$) 0

2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

Total Claims	Extra Claims	Fee from below	Fee Paid
Independent Claims	** =	X	\$0
Multiple Dependent	** =	X	\$0

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description
1202 18	2202 9	Claims in excess of 20
1201 86	2201 43	Independent claims in excess of 3
1203 290	2203 145	Multiple dependent claim, if not paid
1204 86	2204 43	** Reissue independent claims over original patent
1205 18	2205 9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$) 0

**or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)

3. ADDITIONAL FEES

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
1051 130	2051 65	Surcharge - late filing fee or oath	
1052 50	2052 25	Surcharge - late provisional filing fee or cover sheet	
1053 130	1053 130	Non-English specification	
1812 2,520	1812 2,520	For filing a request for ex parte reexamination	
1804 920*	1804 920*	Requesting publication of SIR prior to Examiner action	
1805 1,840*	1805 1,840*	Requesting publication of SIR after Examiner action	
1251 110	2251 55	Extension for reply within first month	
1252 420	2252 210	Extension for reply within second month	
1253 950	2253 475	Extension for reply within third month	
1254 1,480	2254 740	Extension for reply within fourth month	
1255 2,010	2255 1,005	Extension for reply within fifth month	
1401 330	2401 165	Notice of Appeal	
1402 330	2402 165	Filing a brief in support of an appeal	
1403 290	2403 145	Request for oral hearing	
1451 1,510	1451 1,510	Petition to institute a public use proceeding	
1452 110	2452 55	Petition to revive - unavoidable	
1453 1,330	2453 665	Petition to revive - unintentional	
1501 1,330	2501 665	Utility issue fee (or reissue)	
1502 480	2502 240	Design issue fee	
1503 640	2503 320	Plant issue fee	
1460 130	1460 130	Petitions to the Commissioner	
1807 50	1807 50	Processing fee under 37 CFR 1.17(q)	
1806 180	1806 180	Submission of Information Disclosure Stmt	180
8021 40	8021 40	Recording each patent assignment per property (times number of properties)	
1809 770	2809 385	Filing a submission after final rejection (37 CFR 1.129(a))	
1810 770	2810 385	For each additional invention to be examined (37 CFR 1.129(b))	
1801 770	2801 385	Request for Continued Examination (RCE)	
1802 900	1802 900	Request for expedited examination of a design application	

Other fee (specify)

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$) 180

SUBMITTED BY

Name (Print/Type) Christopher W. Corbett
Signature

Registration No. 36,109
(Attorney/Agent)

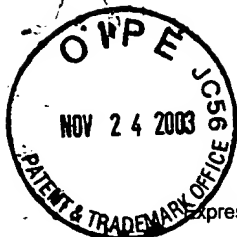
(Complete if applicable)

Telephone (405) 607-8600

Date 11/24/2003

SEND TO:

Commissioner for Patents
PO Box 1450, Alexandria, VA 22313-1450



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ACCOUNT #04-1700

Express Mail No. EL984538771US

Deposited on: 11/24/2003

DUNLAP, CODDING & ROGERS, P.C.

PTO/SB/21 (08-00)
Approved for use through 10/31/2002. OMB 0651-0031
U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

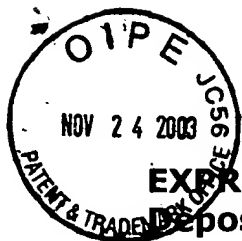
TRANSMITTAL FORM <i>(to be used for all correspondence after initial filing)</i>	Application Number	09/988,847
	Filing Date	11/19/2001
	First Named Inventor	Daniel E. Resasco et al.
	Group Art Unit	1754 (Conf. No. 9377)
	Examiner Name	S. Hendrickson
Total Number of Pages in This Submission	Attorney Docket Number	5820.615

ENCLOSURES <i>(check all that apply)</i>		
<input checked="" type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment / Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input checked="" type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/ Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Assignment Papers <i>(for an Application)</i> <input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group <i>(Appeal Notice, Brief, Reply Brief)</i> <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) <i>(please identify below):</i> See remarks below:
Remarks 1. Transmittal (1 page); 2. Fee Transmittal (1 page) Authorizing the Commissioner to charge indicated fees of \$180.00 (which includes \$180.00 for Submission of IDS) and any additional fee required and/or credit any overpayments to Deposit Account Dunlap, Coddling & Rogers, P.C.; 3. Second Supplemental Information Disclosure Statement (3 pages); 4. Second Supplemental Form PTO-1449 (1 page); 5. Copies of cited material; and 6. Return Receipt Postcard		

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT	
Firm or Individual name	DUNLAP, CODDING & ROGERS, P.C., Customer Number 30589 P. O. Box 16370, Oklahoma City, Oklahoma 73113; Christopher W. Corbett
Signature	
Date	11/24/03

CERTIFICATE OF MAILING	
I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail or U.S. Express mail no. EL984538771US in an envelope addressed to the address below on this date: 11/24/2003	
Typed or printed name	Christopher W. Corbett, Reg. No. 36,109
Signature	Date 11/24/03

SEND TO: Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450



EXPRESS MAIL NO.: EL984538771US

Deposited On: November 24, 2003

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application No. : 09/988,847 Confirmation No.: 9377
Applicant(s) : Daniel E. Resasco, Boonyarach Kitiyanan,
Jeffrey H. Harwell and Walter Alvarez
Filed : 11/19/2001
TC/A.U. : 1754
Examiner : S. Hendrickson
Title : METALLIC CATALYTIC PARTICLE FOR
PRODUCING SINGLE-WALLED CARBON
NANOTUBES

Docket No. : 5820.615
Customer No. : 30589

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

**SECOND SUPPLEMENTAL
INFORMATION DISCLOSURE STATEMENT**

**List of Sections Forming Part of This
Information Disclosure Statement**

The following sections are being submitted for this Information Disclosure Statement:

1. ☒ Preliminary Statements
2. ☒ FORM PTO-1449 (Modified)
3. ☐ Statement as to Information Not Found in Patents or Publications
4. ☒ Copies of Listed Information Items Accompanying this Statement

5. ☒ Identification of Person(s) Making this Information Disclosure Statement

Section 1. Preliminary Statements

Applicants submit herewith patents, publications or other information of which they are aware, which they believe may be material to the examination of this application and in respect of which there may be a duty to disclose.

The filing of this information disclosure statement shall not be construed as a representation that a search has been made (37 C.F.R. § 1.97(g)), an admission that the information cited is, or is considered to be, material to patentability or that no other material information exists.

The filing of this information disclosure statement shall not be construed as an admission against interest in any manner. Notice of January 9, 1992, 1135 O.G. 13-25, at 25.

Section 2. Form PTO-1449 (Modified)

☒ A completed Form 1449 (Modified) is attached hereto.

☐ No Form 1449 (Modified) is attached.

Section 3. Statement as to Information Not Found in Patents or Publications (Information Not Listed in Form PTO-1449)

Section 4. Copies of Listed Information Items Accompanying this Statement

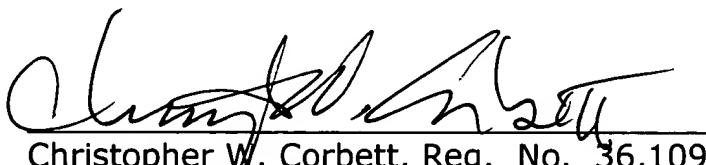
Legible copies of all items listed in Form PTO-1449 (Modified) accompany this information disclosure statement.

Section 5. Identification of Person(s) Making this INFORMATION DISCLOSURE STATEMENT

The person making this statement is the attorney who signs below on the basis of the information:

- ☐ supplied by the inventor(s)
- ☐ supplied by an individual associated with the filing and prosecution of this application (37 C.F.R. § 1.56(c)).
- ☒ in the attorney's file

Respectfully submitted,

A handwritten signature in black ink, appearing to read 'Christopher W. Corbett', is written over a horizontal line.

Christopher W. Corbett, Reg. No. 36,109
DUNLAP, CODDING & ROGERS, P.C.
P.O. Box 16370
Oklahoma City, Oklahoma 73113
(405) 607-8600 - telephone
(405) 607-8686 - telefax

Agent for Applicant(s)

Express Mail: E 984538771US
Date of Deposit: 11/24/2003

Substitute for form 1449A/PTO

**SECOND SUPPLEMENTAL
INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

Complete if Known	
Application Number	09/988,847
Filing Date	11/19/2001
First Named Inventor	Daniel E. Resasco et al.
Group Art Unit	1754
Examiner Name	S. Hendrickson
Attorney Docket Number	5820.615

(use as many sheets as necessary)

U. S. PATENT DOCUMENTS

EXAM INIT.	Cite No. 1	U.S. PATENT NUMBER Number	Kind Code2 (if known)	Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM- DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear

FOREIGN PATENT DOCUMENTS

EXAM INIT.	Cite No. 1	Foreign Patent Document Kind Code5 Office 3 Number 4 (if known)	Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM- DD-YYYY	Pages, Columns, Lines Where Relevant Passages or Relevant Figures Appear

NON PATENT DOCUMENTS

Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published

US 20020165091 A1, Resasco et al., Publication Date 11/07/2002.

US 20020127169 A1, Smalley et al., Publication Date 09/12/2002.

US 20010031900 A1, Margrave et al., Publication Date 10/18/2001.

EXAMINER

DATE CONSIDERED

EXAMINER: Initial if citation considered, whether or not citation is in conformance and not considered. Include copy of this form with next communication to applicant. **Place of Publication refers to name of publication in which the information was published.